# Chapter 6:  Measuring the Outcomes of Homeless Housing and Support Activities

> *HUD's housing and community development formula grant programs play an important role in providing housing and services for individuals and families who are homeless or at imminent risk of becoming homeless.  This chapter focuses on measuring the outcomes of activities designed to assist homeless persons, including those funded through ESG, HOME, and CDBG.*

## Understanding ESG, HOME, and CDBG in the Context of HUD's Homeless Assistance Programs

When it comes to accessing affordable housing, homeless individuals and families face many barriers.  In addition to having low or no income, poor rental histories, and poor credit histories, many homeless individuals and families have special needs such as mental health issues, substance abuse issues, physical or developmental disabilities, or health issues such as HIV/AIDS.

The Emergency Shelter Grants (ESG) Program has played an important role in the response to homelessness throughout the past two decades.  An increasing number of communities across the nation also use the flexibility of the HOME and CDBG programs to supplement the housing and services they make available to low-income persons with special needs, including individuals and families that are homeless.

❑ The ESG program is one of four HUD homeless assistance programs operated by HUD CPD's Office of Special Needs Assistance Programs.  The other three are the Supportive Housing Program (SHP), Shelter Plus Care (SPC), and Single Room Occupancy Moderate Rehabilitation for the Homeless (SRO).

➢ ESG is the only formula-funded HUD program that is targeted to assist homeless individuals and families, and as a result, is the only homeless program that is included in the IDIS performance measurement effort.  (The other three homeless programs are funded competitively through HUD's Continuum of Care process).

➢ The data required from ESG grantees in the CPD Performance Measurement System is relatively minimal.  However, ESG grantees must participate in HMIS subject to HMIS Data and Technical Standards.

➢ ESG has two components: <u>homeless assistance</u> and <u>homeless prevention</u>. Eligibility for homeless assistance services is limited to *persons who meet HUD's definition of homeless,* while eligibility for homeless prevention services can be provided to *persons at imminent risk of becoming homeless*.

• HUD defines a homeless person as "someone who is living on the street or in an emergency shelter, or who would be living on the street or in an emergency shelter without HUD's homelessness assistance."

- To be considered at imminent risk of homelessness, the following conditions must be met:

  – Eviction, foreclosure, or utility termination is imminent;

  – The household has an inability to make the required payments due to a sudden reduction in income;

  – The assistance is necessary to avoid eviction or termination of services; and

  – There is a reasonable prospect that the family will be able to resume payments within a reasonable period of time.

❑ CDBG and HOME funds can be used to target homeless individuals and families, as long as the individuals meet the income targeting and affordability requirements applicable to each program.

❑ The Housing Opportunities for Persons with AIDS (HOPWA) Program serves low-income individuals living with HIV/AIDS. While a number of HOPWA consumers are homeless or at risk of homelessness, it is not a requirement for assistance. Measuring outcomes of HOPWA-funded activities, including those targeting homeless households, is discussed in Chapter 7.

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**Continuums of Care**

All grantees that use ESG, CDBG, HOME, or HOPWA funds to provide housing and/or services to homeless households are strongly encouraged to actively participate in the local Continuum of Care planning process in order to maximize coordination of their activities and services, as well as the data collection, analysis, reporting, and outcome measurements.

A Continuum of Care (CoC) is a comprehensive public-private planning process composed of non-profit and governmental service providers and funders. It is the entity to which HUD has given the responsibility and authority to (1) define the number and characteristics of homeless persons, (2) implement a strategic 10-year plan to end chronic homelessness, (3) implement a plan to move homeless individuals and families into permanent housing, and (4) submit an annual application for HUD McKinney-Vento competitive grant funds. Some CoCs cover a single city, but many cover a metropolitan area, a group of counties, a large portion of a state, or the entire state.

HUD has identified five fundamental components of a comprehensive CoC system:

❑ Homeless prevention strategies and services;

❑ Street outreach, intake, and assessment to identify an individual's or family's needs and link them to appropriate housing and services;

❑ Emergency shelter and safe, decent alternatives to the streets;

❑ Transitional housing with supportive services to help people develop the skills necessary for permanent housing; and

❑ Permanent housing and permanent supportive housing.

While a CoC has the responsibility of submitting the community's McKinney-Vento funding application, all homeless assistance providers – regardless of funding source – should participate in the CoC process. For example, the ESG and CDBG programs are important sources of funding for emergency shelters, so it is important for ESG and CDBG recipients to be involved in CoC planning.

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**Types of Homeless Housing and Services Funded with ESG, HOME, and CDBG**

A wide variety of homeless housing and service activities are funded through CPD's formula grant programs. Regardless of the funding source, the activities generally fall into one of four categories:

❑ **Homeless prevention activities** include emergency financial assistance and homeless prevention services to households that have received an eviction notice or notice of termination of utility services. Emergency financial assistance includes rental assistance to prevent eviction, mortgage assistance to prevent foreclosure, first month's rent to permit a homeless family to move into its own apartment, security deposit assistance, and assistance to prevent utility termination. Homeless prevention services include housing counseling, landlord/tenant mediation, and legal services. Homeless prevention activities can be funded through ESG and CDBG.

❑ **Emergency shelter activities** include costs associated with both developing and operating shelter facilities. ESG funds may be used for renovation, rehabilitation, conversion, and operations. CDBG funds may also be used for acquisition and construction of emergency shelters.

   ➤ Under ESG, emergency shelter includes facility-based emergency shelter, hotel/motel vouchers for emergency shelter, transitional shelter/housing (e.g., a treatment facility), drop-in centers/day shelters, and street outreach to inform homeless persons about the availability of shelter.

❑ **Permanent housing assistance** includes single-family homes, rental units, single-room occupancy homes, or group homes. Examples include development of rental housing with units earmarked for homeless households and tenant-based rental assistance that is targeted to very-low income and/or special needs households. Housing assistance can be funded through HOME and CDBG.

❑ **Essential services** include housing search assistance; medical and psychological counseling; job training and placement; substance abuse treatment and counseling; nutrition assistance; childcare; transportation; and assistance in obtaining other Federal, state, and local benefits and services. Essential services can be funded through ESG and CDBG.

## HUD CPD Objectives and Outcomes

The selection of objectives and outcomes should be guided by the program purpose. Grantees should ask themselves <u>why</u> they are funding an activity in order to help guide the selection of the most appropriate objective and outcome. For homeless programs, there are some common purposes and themes that may help in this process:

❑ For homeless and special needs housing and support activities, the <u>objective</u> will usually be either <u>Suitable Living Environment</u> or <u>Decent Housing</u>.

   ➤ Emergency shelter is generally provided for the purpose of improving the living environment of the beneficiaries (who would otherwise be living on the

street).  Therefore, shelter rehabilitation and operations should be reported under the suitable living environment objective.

- Note that shelter is <u>not</u> considered housing, and therefore should <u>not</u> be reported under decent housing.

➢ Homeless prevention activities should be reported under the decent housing objective, since the goal of most prevention activities is to help individuals or families preserve their housing and/or make it more affordable while the individual or family is experiencing a temporary crisis.

➢ Permanent supportive housing programs that target assistance to homeless persons will generally be reported under decent housing, regardless of activity type (acquisition, rehabilitation, or new construction of rental housing, tenant-based rental assistance, etc.).  However, housing that is developed as part of a large, multi-activity neighborhood revitalization effort, even if the housing is targeted to homeless individuals, should be reported under the suitable living environment objective because the primary objective of the effort as a whole is revitalization.

➢ Essential services are best captured under the suitable living environment objective, since services (such as mental health counseling, substance abuse treatment, or childcare) are designed to address and improve quality of life, both for the individuals needing the services as well as the communities around them.

- Job training and placement services, as well as educational services that are targeted to homeless individuals, would be reported under the suitable living environment objective since the purpose of these services is to improve the economic circumstances (and therefore living environment) of the beneficiaries.  When targeted in this way, such activities do <u>not</u> apply to the creating economic opportunities objective, which focuses on activities related to economic development, commercial revitalization, and job creation.

❑ <u>Outcomes</u> for most homeless activities are generally either <u>Availability/Accessibility</u> or <u>Affordability</u>.

➢ Emergency and transitional shelter are best reflected by the availability/accessibility outcome, since the goal of such activities is to make shelter available to low-income persons who otherwise would not have it.

➢ Homeless prevention activities should be captured under the affordability outcome, since they typically help persons pay for or better afford their current housing.

➢ When housing activities (such as TBRA) are targeted to address a lack of housing for persons with special needs, such as homeless individuals with mental illness or substance abuse issues, these activities may be most appropriately reported under the accessibility/availability goal.  These same activities, when not targeted to a specific group but made available to a

general low-income population, may be better defined under the affordability outcome.

➢ In general, homeless individuals and families face multiple barriers when trying to access mainstream supportive services. As a result, supportive services funded through ESG or CDBG typically reflect an access or availability issue.

Exhibit 6-1 provides some guidance concerning which objectives and outcomes may be most appropriate for special needs housing and support activities.

**Exhibit 6-1**
**Suggestions for Choosing an Objective and Outcome:**
**Homeless Housing and Support Activities**

| Outcome → / Objective ↓ | Availability/Accessibility | Affordability | Sustainability |
|---|---|---|---|
| **Suitable Living Environment** | Activities that increase access or availability to shelter or a service that will improve the beneficiary's living environment. *Examples:* <br>▪ *Emergency shelter;* <br>▪ *Transitional housing program (e.g., a substance abuse treatment facility for homeless persons);* <br>▪ *Street outreach to chronically homeless persons; or* <br>▪ *Essential services (mental health counseling, substance abuse treatment, etc.)* | | |
| **Decent Housing** | Housing activities focused primarily on improving the quality of, or access to, housing (rather than affordability). *Examples:* <br>▪ *Construction or rehabilitation of rental units earmarked for homeless persons with mental illness.* | Housing activities focused primarily on making the housing units affordable. *Examples:* <br>▪ *Homeless prevention assistance; or* <br>▪ *Deeply subsidized rehabilitation of rental units designed to lower rental payments for extremely low-income persons.* | |

| Creating Economic Opportunities | | | |
|---|---|---|---|

# Reporting on Homeless Assistance Activities (Including Prevention, Shelter, and Essential Services)

The specific reporting requirements related to homeless housing and services depend on the funding source used to support the activity. When setting up projects in IDIS, the system will provide menu options for specific outcome indicators that are required. The requirements for each funding source are discussed in the sections below.

## Reporting on ESG-Funded Prevention, Shelter, and Essential Services

With the exception of having to identify objectives and outcomes, reporting for ESG grantees under IDIS Version 10.0 varies only slightly from previous versions of IDIS. The new IDIS screens (now active) include largely the same data elements, but capture actual counts instead of percentages and averages. *However, it is important to note that Phase I of the re-engineered IDIS, expected to be released in the fall of 2006, will include additional data elements and performance indicators for ESG grantees.*

### Data Required

The data required for ESG-funded activities is largely the same for all activities – whether shelter rehabilitation or operations, homeless prevention, or essential services. For all activities, grantees must provide a count of the individuals served by the project.

> **Identifying ESG Projects in IDIS: "The Shelter Is the Project"**
>
> Remember, IDIS is designed to identify a grantee's various projects, and within each project, the activities for which the ESG funds are being used. When setting up activities in IDIS, the project title should be the name of the facility (e.g., Jane's Shelter), not the organization operating the shelter (Salvation Army). Similarly, the project title should never be the eligible activity.
>
> The activity type should be one of the five eligible activities: shelter rehabilitation/renovation, shelter operation, essential services, homeless prevention, and administrative costs. If Jane's Shelter used funds for all five activity types, the grantee will set up five IDIS activities in IDIS. (Note that there are no accomplishment screens associated with administrative costs.)

❑ Grantees providing emergency or transitional shelter are required to report the total number of adults and children served on an annual basis. Remember, this should be an actual unduplicated count, not an estimate or point-in-time count. This means that regardless of how many nights a person stays in a shelter, they are counted once. For example, if Mary Johnson stays in Jane's Shelter for 60 nights, she is counted as one person served – not 60.

For individuals served in emergency or transitional shelter, the following data is also required:

- ➢ The number of households served by household type (screen C04ME03).

- ➢ The number of persons served by special need category (screen C04ME04). *Persons that fit more than one category should be listed in all applicable categories.*

- ➢ The number of persons served by facility type (screen C04ME05).

- ➢ The number of persons served by race and ethnicity (screen C04ME07).

❑ Grantees providing <u>homeless prevention services</u> must report the total number of individuals served on an annual basis (screen C04ME02). Note that this data must be reported under the "non-residential services" section of the screen.

- ➢ Grantees providing prevention services must also report the number of persons served by race and ethnicity (screen C04ME07).

- ➢ Eventually, grantees will also be required to provide the number of persons that received financial assistance as well as other types of prevention services.

❑ Grantees providing <u>essential services</u> to homeless persons <u>not</u> residing in an emergency or transitional shelter are required to report the total number of individuals served on an annual basis (screen C04ME02). Again, this data must be reported under the "non-residential services" section of the screen.

- ➢ Grantees providing prevention services must also report the number of persons served by race and ethnicity (screen C04ME07).

- ➢ Note that HUD assumes persons being served in emergency or transitional shelter are also receiving essential services. Therefore, these individuals are captured in the "residential" count. Only individuals not residing in emergency or transitional shelter should be counted under non-residential services.

The correlating IDIS screens for ESG activities are provided below.

```
05/04/06  19:26               ESG BENEFICIARIES                    C04ME02

 Project Number: 1        Program Year: 2005      IDIS Activity ID: 538
 Project Title:  FRIENDSHIP SHELTER
 Activity Name:  RENOVATION


 The numbers for the following questions should be based on the annual
 number of persons served.

 RESIDENTIAL (EMERGENCY OR TRANSITIONAL SHELTERS)

   Annual Number Adults Served:  _____
 Annual Number Children Served:  _____
                        Total: _____



 NON-RESIDENTIAL SERVICES

 Annual Number of Adults and Children Served: _____




 F3=VALDT    F4=MAIN MENU    F5=PROJ INFO    F7=PREV    F8=NEXT    F9=SAVE
```

```
05/04/06  19:31               ESG BENEFICIARIES                    C04ME03

 Project Number: 1        Program Year: 2005      IDIS Activity ID: 538
 Project Title:  FRIENDSHIP SHELTER
 Activity Name:  RENOVATION


  EMERGENCY OR TRANSITIONAL SHELTERS

  ANNUAL NUMBER OF INDIVIDUAL HOUSEHOLDS (SINGLES):              TOTALS
    Unaccompanied 18 and over .. Male: _____    Female: _____    _____
    Unaccompanied under 18 ..... Male: _____    Female: _____    _____

  ANNUAL NUMBER OF FAMILY HOUSEHOLDS WITH CHILDREN HEADED BY:
    Single 18 and over ........ Male: _____    Female: _____    _____
    Single under 18 ........... Male: _____    Female: _____    _____
    Two Parents 18 and over ....................................:    _____
    Two Parents under 18 .......................................:    _____

  ANNUAL NUMBER OF FAMILY HOUSEHOLDS WITH NO CHILDREN ..........:    _____

                                              TOTAL:           0



 F3=VALDT    F4=MAIN MENU    F5=PROJ INFO    F7=PREV    F8=NEXT    F9=SAVE
```

```
05/04/06  19:34                ESG BENEFICIARIES                      C04ME04

 Project Number: 1          Program Year: 2005      IDIS Activity ID: 538
 Project Title:  FRIENDSHIP SHELTER
 Activity Name:  RENOVATION


 EMERGENCY OR TRANSITIONAL SHELTERS

 List the number of persons for each subpopulation you served. If you
 served subpopulations that fit more than one category, you may
 place overlapping numbers (duplicate persons) on the appropriate lines.

  Chronically Homeless (Emergency Shelter only): _____
                            Severely Mentally Ill: _____
                           Chronic Substance Abuse: _____
                                 Other Disability: _____
                                         Veterans: _____
                              Persons with HIV/AIDS: _____
                      Victims of Domestic Violence: _____
                                          Elderly: _____




 F3=VALDT    F4=MAIN MENU    F5=PROJ INFO   F7=PREV   F8=NEXT   F9=SAVE
```

```
05/04/06  19:35                ESG HOUSING                           C04ME05

 Project Number: 1          Program Year: 2005      IDIS Activity ID: 538
 Project Title:  FRIENDSHIP SHELTER
 Activity Name:  RENOVATION



 Annual number served in Emergency or Transitional Shelters


                                        NUMBER OF
                       SHELTER TYPE    PERSONS HOUSED

                           Barracks:      _____
                    Group/Large House:    _____
              Scattered Site Apartment:   _____
          Single Family Detached House:   _____
                  Single Room Occupancy:  _____
                   Mobile Home/Trailer:   _____
                           Hotel/Motel:   _____
                                 Other:   _____
                                 Total:      0


 F3=VALDT    F4=MAIN MENU    F5=PROJ INFO   F7=PREV   F8=NEXT   F9=SAVE
```

```
05/04/06  19:29              RACIAL/ETHNIC CHARACTERISTICS              C04ME07

 Project Number: 1          Program Year: 2005        IDIS Activity ID: 538
 Project Title:  FRIENDSHIP SHELTER
 Activity Name:  RENOVATION

 ANNUAL NUMBER SERVED  (INCLUDING RESIDENTIAL AND NON-RESIDENTIAL SERVICES)
                                              #Total      #Hispanic
                                     White:  _____      _____
                  Black/African American:    _____      _____
                                     Asian:  _____      _____
              American Indian/Alaskan Native:  _____      _____
     Native Hawaiian/Other Pacific Islander:  _____      _____
     American Indian/Alaskan Native & White:  _____      _____
                             Asian & White:  _____      _____
             Black/African American & White:  _____      _____
 Am.Indian/Alaskan Native & Black African Am.:  _____      _____
                       Other Multi-Racial:    _____      _____


                                    TOTAL:        0             0


    F3=VALDT   F4=MAIN MENU   F5=PROJ INFO   F7=PREV   F8=NEXT   F9=SAVE
```

### Key Issues in Data Collection

In terms of the ESG Program, the primary data collection burden will be on service providers (or those implementing the activities, if different). Unfortunately, data collection for homeless programs can be challenging – particularly for emergency shelters, soup kitchens, and other day programs where clients are transient and the length of stay is extremely short-term. As a result, it is particularly important for providers to incorporate data collection into their daily processes so that data collection does not become onerous to the provider or beneficiaries.

Although HUD has not yet established a deadline for participation, ESG grantees are required to participate in HMIS data collection and reporting. (Note that the IDIS data elements are consistent with the HMIS universal data elements; as a result, an ESG grantee should eventually be able to aggregate data collected through HMIS for IDIS reporting.) Consequently, if grantees have not already done so, they should begin thinking about how best to incorporate data collection into their daily processes.

> **Data Reporting Tip**
>
> Grantees are required to report data on an annual basis. Reports should be based on the program year – which is the same as the Con Plan year – not the state's fiscal year. For example, if the Con Plan year is from April to March, but the state fiscal year is October to September, data should be reported for the period of April to March.

❑ Many longer-term emergency shelters (i.e., those that are open 24 hours and allow clients to stay from a few weeks to a few months) as well as transitional housing programs provide case management services to help clients determine

where they will go upon exiting the program.  For these providers, data collection should be incorporated into the client intake process.

❑ Overnight emergency shelters (i.e., those that are open at night only and operate on a first come-first serve basis), soup kitchens, and day programs will have to think more carefully about how to collect data.  It may be necessary to develop a *short* intake form that staff and/or beneficiaries can complete upon entry into the shelter. (This may be the only way to collect sensitive information about mental health, substance abuse, HIV/AIDS status, and domestic violence.)  Once the shelter staff knows a beneficiary, the staff can use a simple sign-in sheet for tracking purposes.

❑ Some communities across the country have begun implementing "scan card" systems, which allow providers to identify who is using services and to what extent.  Under this system, beneficiaries are provided with a card, and upon entry into a shelter, soup kitchen, day center, etc., the system scans the bar code on the card to track the clients' use of services.  Although there are significant front-end costs for such systems, they provide significant benefits over the long term, including both administrative cost savings as well as improved data quality.  Reliable information about the client population greatly enhances a provider's ability to plan and program for its constituents.  Providers using these systems should have few difficulties with data collection.

Grantees should specify the reporting requirements in their written agreements or contracts with providers.  Grantees may also want to provide subgrantees with a reporting format to ensure that consistent and comprehensive information is obtained.

❑ Grantees should advise providers that year-end reports must be compiled at year's end and cannot be generated based on the aggregation of monthly or quarterly reports.  This is because of the need to get an unduplicated count of the number of individuals served; only by compiling the report at year-end can the provider know that an individual consumer did not use services in more than one month or quarter.  For example, John Smith may use shelter services in January and again in October.  If quarterly results are aggregated, the shelter will over-report the number of persons served for the year.

❑ It is prudent for a grantee to require reporting in conjunction with a subgrantee's reimbursement requests.  Nonetheless, the subgrantee will still need to provide a year-end report that provides an unduplicated count of the individuals served for the program year.

### Reporting on CDBG–Funded Prevention, Shelter, and Essential Services

The data elements for emergency shelter, homeless prevention, and essential service activities funded with CDBG differ slightly from those used for the same activities funded under ESG.  However, the indicators still generally focus on getting a count of the number of individuals served.

### *Data Required*

❑ Under the CDBG program, emergency and transitional shelter development and operations are reported under Public Services/Public Facilities and Improvements (screen CDBG17).

❑ <u>Shelter development</u> is reported as a <u>public facility</u> activity.  Grantees doing development activities (e.g., construction, conversion, or rehabilitation of a shelter facility) must report:

➢ The number of beds created.

➢ The number of persons assisted, broken down by:

- Number of persons who have new access to the facility.  An example of new access would be development of a shelter where one previously did not exist.

- Number of persons who have improved access to the facility.  An example of improved access would be an expansion of an existing shelter to increase the number of beds.

- Number of persons that are served by a facility that is no longer substandard. Examples of improving the quality of a facility would be repairs that offer improved security or heating/cooling, or rehabilitating the building to include a shower/bathing facility.

> **Reporting on CDBG-Funded Shelters**
>
> As with ESG-funded shelters, this should be an unduplicated count.  Note, however, a person served at a shelter that receives both ESG and CDBG funds may be counted under each funding stream.

Note that individuals should not be reported in more than one category. Chapter 9 provides additional guidance on reporting CDBG-funded public facilities.

❑ In contrast, <u>emergency shelter operations</u> is reported as a <u>public service</u> activity. Grantees using CDBG funds for shelter operations must report the number of persons assisted, broken down by:

➢ Number of persons who have new access to the service.

➢ Number of persons who have improved access to the service.

➢ Number of persons that receive a service that is no longer substandard.

The same examples presented above apply to shelter operations.

❑ CDBG-funded <u>supportive services</u> (e.g., case management, job training and placement, transportation assistance, childcare) are also reported as <u>public services</u>.  Grantees providing public services must again report the total number of persons assisted, broken down by:

➢ Number of persons who have new access to the service or benefit. Again, new access refers to a service that is being offered for the first time. For example, a transitional housing program begins offering childcare and transportation assistance to clients in order to help them obtain/maintain employment.

➢ Number of persons who have improved access to the service or benefit. Improved access to a service refers to a service that was previously offered, but has been expanded in terms of size, capacity, or location. For example, perhaps a homeless drop-in center/soup kitchen previously offered clients one meal a day, but through the use of CDBG funds, are able to expand services to include three meals a day.

➢ Number of persons that receive a service that is no longer substandard. An example of improving the quality of service is a transitional housing facility for persons with mental illness that is able to hire a licensed psychiatric social worker to work with clients (whereas existing case managers have no specific mental health training/qualifications).

Again, individuals should not be reported in more than one category. Chapter 8 provides additional guidance on reporting CDBG-funded public services.

The following IDIS screen shows the data needed for public services or benefits for homeless persons:

```
05/03/06  13:42    Public Services/Public Facilities and Improvements   CDBG17
Grantee Activity ID                                    IDIS Activity ID 538
Activity Name        BOYS & GIRLS CLUB                          Natl/Obj LMC


                    Year to Insert: ____ :          0
 Of the persons assisted, enter the number that:
  Now have new access (continuing) to this service or benefit:      _____
  Now have improved access to this service or benefit:              _____
  Now receive a service or benefit that is no longer substandard:   _____
                                                        Total:          0
  Now have new access (continuing) to this type of public facility
  or infrastructure improvement:                                   _____
  Now have improved access to this type of public facility or
  infrastructure improvement:                                      _____
  That are served by public facility or infrastructure that is no
  longer substandard:                                              _____
                                                        Total:          0
                                                                   _____
# of beds created in overnight shelter or other emergency housing:  _____

Insert/Delete program year (I/D)? _
Type year to be inserted and press <ENTER> to confirm.
         F4=MAIN MENU   F5=PROJ INFO   F7=PREV   F8=NEXT
```

❑ For CDBG-funded <u>homeless prevention activities</u>, grantees must report the total persons assisted for the year, broken down by the number receiving emergency financial assistance and the number receiving emergency legal assistance.

The following IDIS screen reflects the data that must be reported for CDBG-funded homeless prevention.

```
05/10/06  13:32                HOMELESS PREVENTION                      CDBG31


Grantee Activity ID                                   IDIS Activity ID 540

Activity Name      TEST ACTIVITY                            Natl/Obj LMC


Total benefiting for program year 2005 : 40


Of the persons assisted, enter the number that:


Received emergency financial assistance to prevent homelessness:     _____


    Received emergency legal assistance to prevent homelessness:     _____








Insert/Delete program year(I/D)? _


F3=VALDT   F4=MAIN MENU   F5=PROJ INFO   F7=PREV   F8=NEXT   F9=SAVE
```

***Key Issues in Data Collection***

Data collection for CDBG-funded homeless assistance activities should be fairly straightforward since the focus is getting a count of the number of individuals served.

❑ With the exception of the number of shelter beds created (which grantees should be able to obtain from the funding agreement), the majority of information will have to be obtained from subgrantees.

❑ Most CDBG grantees require regular reporting by subgrantees, typically in conjunction with a subgrantee's request for reimbursement of costs. Similar to ESG, however, subgrantees should submit a year-end report in order to provide an unduplicated count of the individuals served for the program year.

# Reporting on Homeless Housing Activities

Housing activities funded by the HOME and CDBG Programs have the same reporting requirements whether the activities target homeless individuals and families or a general low-income population. The requirements related to these activities were discussed in Chapter 4, but since the most common housing activities targeted towards homeless households are rental housing development and TBRA, these requirements are reviewed again below.

## Reporting on Rental Housing Activities

Rental housing activities include the acquisition and/or rehabilitation of rental units, the construction of new units, and the conversion of nonresidential structures into rental units. Rental housing includes apartments, single room occupancy housing, and group homes. An example of a homeless rental housing project includes the construction of single-room occupancy units to permanently house homeless persons with mental illness.

Regardless of the type of rental activity, most of the performance measures are the same. Some data must be collected on all units in a rental activity; some data applies only to the affordable/assisted units, and some data elements apply to rental rehabilitation or conversion activities.

### *Data Required*

All rental housing activities are required to report the following information:

❑ The **total** number of units in the activity.

❑ The number of **affordable** units. Affordable units are those with occupancy restrictions for households as defined by the regulations of the applicable program.

❑ The **total** number of units meeting Energy Star standards.

➢ Energy Star is a whole-house building and inspection standard for new construction and gut rehabilitation intended to achieve significant energy savings for the owner and/or tenant over time. See Appendix 1 for more information about this standard.

❑ The **total** number of units meeting Section 504 accessibility standards.

The following additional measures apply only to those units designated as affordable:

❑ The number of years that affordability restrictions apply.

➢ In the HOME Program, rental units are subject to an affordability period based on the level of assistance provided (5, 10, 15, or 20 years). This number is calculated automatically by IDIS. However, some participating jurisdictions establish affordability periods that are longer than the minimum time periods required in the HOME regulations.

➢ For purposes of performance reporting, PJs should enter the number of years that units are restricted, possibly due to Low-Income Housing Tax Credit requirements, if the period is longer than the HOME regulatory minimums.

➢ Although the CDBG program does not mandate an affordability period, grantees that require one should report the number of years that units are restricted.

❑ The number of assisted units that are occupied by elderly households.

❑ The number of units subsidized with project-based rental assistance through a Federal, state, or local program. Note that this applies only to rental assistance that is project-based—if rental assistance is portable (i.e., a Section 8 voucher or HOME tenant-based rental assistance) then that assistance should not be reported here.

❑ The number of units designated for persons with HIV/AIDS, including units receiving assistance for operations.

➢ Of the units designated for persons with HIV/AIDS, grantees should report the number specifically designated for the chronically homeless.

❑ The number of units of *permanent* housing designated for homeless persons and families, including units receiving assistance for operations.

➢ Of the number of permanent housing units, the number specifically designated for the chronically homeless. Note that this measure applies only to permanent housing. Remember, overnight shelters or other short-term housing activities are not reported as housing activities.

> **Defining Chronic Homelessness**
>
> HUD defines a chronically homeless person as an unaccompanied homeless individual with a <u>disabling condition</u> who has either (1) been continuously homeless for a year or more; or (2) has had at least four episodes of homelessness in the past three years.
>
> A disabling condition is defined as a diagnosable substance use disorder, serious mental illness, developmental disability, or chronic physical illness or disability, including the co-occurrence of two or more of these conditions.

The following additional measures apply to <u>rental rehabilitation</u> and to the <u>conversion of non-residential buildings</u> to residential buildings:

❑ The number of units created through conversion of nonresidential buildings to residential buildings. For HOME, non-residential to residential activities are reported on a separate HOME screen in set-up.

❑ The number of units brought from substandard to standard condition, meaning either HQS or local code, whichever is applicable. Note, all HOME-assisted units must meet applicable code requirements at completion by regulation.

❑ The number of units made lead safe (24 CFR Part 35).

### Sample IDIS Screens

The IDIS reporting screens are slightly different for each possible funding source. The sample screens for new construction rental projects funded with CDBG dollars are shown below.

```
05/03/06  15:13     CONSTRUCTION OF RENTAL UNITS - PART 1           CDBG18

Grantee Activity ID                              IDIS Activity ID 538
Activity Name      HARGROVE APARTMENTS                   Natl/Obj LMH

                  Year to Insert: ____ :           0

Of the total Rental Units, the number:

  Affordable units:                                   _____
  Section 504 accessible units:                       _____
  Units qualified as Energy Star Standards:           _____

Of the total number of affordable units:

  Units occupied by elderly:                          _____
  Years of affordability:  __
  Units subsidized with project-based rental assistance
          by another Federal, state or local Program:  _____

Insert/Delete program year(I/D)? _
Type year to be inserted and press <ENTER> to confirm.
         F4=MAIN MENU   F5=PROJ INFO   F7=PREV   F8=NEXT
```

```
05/03/06  15:14     CONSTRUCTION OF RENTAL UNITS - PART 2          CDBG19


Grantee Activity ID                             IDIS Activity ID 538
Activity Name       HARGROVE APARTMENTS                   Natl/Obj LMH


Total Rental Units for program year 2005 : 10

Of the total Rental Units, the number:

   Units designated for persons with HIV/AIDS including
          units receiving assistance for operations:  _____
     Of those, the number for the chronically homeless:  _____

   Permanent housing units designated for homeless persons and families,
    including units receiving assistance for operations:  _____
       Of those, the number for the chronically homeless:  _____




Insert/Delete program year(I/D)? _

F3=VALDT   F4=MAIN MENU   F5=PROJ INFO   F7=PREV   F8=NEXT   F9=SAVE
```

The screens for CDBG-rental rehabilitation projects look similar to the screens above, but also collect information on the number of units brought into compliance with lead safety rules and the number of units created through conversion of non-residential buildings.

```
05/03/06  14:17     REHABILITATION OF RENTAL UNITS PART - 1       CDBG20

Grantee Activity ID                             IDIS Activity ID 538
Activity Name       HARGROVE APARTMENTS                   Natl/Obj LMH


                    Year to Insert: ____ :           0

Of the total Rental Units, the number:

  Affordable units:                                       _____
  Section 504 accessible units:                           _____
  Brought from substandard to standard condition
   (HQS or local code):                                   _____
  Number qualified as Energy Star:                        _____
  Brought into compliance with lead safety rules (24 CFR Part 35):  _____

  Number of units created through conversion of non-residential
   to residential buildings:                              _____


Insert/Delete program year(I/D)? _
Type year to be inserted and press <ENTER> to confirm.
         F4=MAIN MENU   F5=PROJ INFO   F7=PREV   F8=NEXT
```

```
05/03/06  14:18     REHABILITATION OF RENTAL UNITS PART - 2              CDBG21
Grantee Activity ID                               IDIS Activity ID 538
Activity Name       HARGROVE APARTMENTS                     Natl/Obj LMH


Total Affordable Units for program year 2005 : 1


Of the number of Affordable Units, the number:
    Units occupied by elderly:                             _____
    Number of years of affordability:  __
    Units subsidized with project-based rental assistance
             by another Federal, state or local Program:   _____

    Units designated for persons with HIV/AIDS including
             units receiving assistance for operations:    _____
     Of those, the number for the chronically homeless:    _____


    Permanent housing units for homeless persons and families,
        including units receiving assistance for operations:  _____
     Of those, the number for the chronically homeless:    _____


Insert/Delete program year(I/D)? _


F3=VALDT   F4=MAIN MENU   F5=PROJ INFO   F7=PREV   F8=NEXT   F9=SAVE
```

The sample screens for HOME-funded rental projects are shown below.

```
                COMPLETE RENTAL ACTIVITY: UNITS              HR03-A

  Grantee Activity ID                          IDIS Activity ID    539
  Activity Name       STONEGATE APARTMENTS
  Activity Address    123 MAIN STREET ANYTOWN IL 60490

  COMPLETED UNITS     Total  10    HOME-Assisted  10

                                                     HOME-
  OF THE UNITS COMPLETED, THE NUMBER:          TOTAL  ASSISTED

                     Meeting Energy Star standards:  ____    ____

                           Section 504 accessible:  ____

                Designated for persons with HIV/AIDS:  ____    ____
      Of those, the number for the chronically homeless:  ____    ____

                          Designated for the homeless:  ____    ____
      Of those, the number for the chronically homeless:  ____    ____



F1=HELP   F3=VALDT   F4=MAIN MENU   F5=PROJ INFO   F7=PREV   F8=NEXT   F9=SAVE
```

```
        COMPLETE RENTAL ACTIVITY: PERIOD OF AFFORDABILITY        HR03-B


Grantee Activity ID                              IDIS Activity ID     539
Activity Name        STONEGATE APARTMENTS
Activity Address     123 MAIN STREET ANYTOWN IL 60490


PERIOD OF        If you are imposing a period of affordability that is
AFFORDABILITY    longer than the regulatory minimum, enter the total
                 years (HOME minimum + additional) of affordability.


                 PJ-imposed period of affordability:  __ years









   F1=HELP   F3=VALDT   F4=MAIN MENU   F5=PROJ INFO   F7=PREV   F8=NEXT   F9=SAVE
```

### Key Issues in Data Collection

Data collection issues will depend on *the source of the information* and *when it is available*.

❑ Information about the unit may be available either at the time the funding agreement is signed or after the completed units are inspected:

➢ At the time the funding agreement is signed, grantees should know the following: the number of units, the number of affordable units, the number of accessible units, the number of years of affordability, the number of units designated for persons with HIV/AIDS, and the number of units designated for homeless households. In addition, grantees should know the number of units receiving project-based assistance, although project-based commitments may come later in the development timeline. The data reporting function here involves extracting this information from the written agreement and entering it into IDIS.

➢ The number of units meeting Energy Star standards and the number brought from substandard to standard condition can be verified through the construction inspection process. The data reporting function here involves the inspector(s) reporting this information at the time of final inspections, and such information being conveyed to the grantee so it may be entered in IDIS.

❑ As required by the respective program, grantees need to collect all required beneficiary data from project sponsors for all covered units (i.e., assisted units for HOME, all units for CDBG to establish compliance with a national objective). This information can only be reported once units are leased.

## Reporting on Tenant-Based Rental Activities

Tenant-based rental assistance (TBRA) activities include all direct rental assistance to tenants, including security deposit programs, short-term assistance programs, and direct rental payments that operate like the Section 8 Voucher program.  Examples of TBRA programs for homeless households include the provision of security deposits for homeless households leaving transitional housing for market-rate housing or the provision of direct rental payments under a transitional housing program where the assistance is transitional but the housing is permanent.

### Data Required

The following information is required for all TBRA activities:

- ❏ The total number of households receiving assistance.

- ❏ The number of households receiving with short-term rental assistance (less than 12 months), including security deposit programs.

- ❏ The number of homeless households receiving assistance, and of those households, the number of chronically homeless households.

### Sample IDIS Screens

The IDIS reporting screens are slightly different for each possible funding source.  The sample screen for CDBG-funded TBRA activities is shown below.

```
05/03/06  14:34            Tenant-Based Rental Assistance              CDBG30

Grantee Activity ID                                   IDIS Activity ID 538
Activity Name      HELPING HANDS RENTAL ASSISTANCE         Natl/Obj LMH

                       Year to Insert: ____ :            0

Of the total Households assisted, the number:

      Short-term rental assistance (not more than 3 months):  _____

       # of households assisted previously homeless:         _____
         Of those, the # of chronically homeless households:  _____




Insert/Delete program year(I/D)? _
Type year to be inserted and press <ENTER> to confirm.
         F4=MAIN MENU   F5=PROJ INFO   F7=PREV   F8=NEXT
```

The sample screen for HOME-funded TBRA activities is shown below.

```
                         TBRA: UNITS                            TBRA-2

    Grantee Activity ID                         IDIS Activity ID    539
    Activity Name        TBRA PROGRAM 2006

    NUMBER OF TBRA UNITS:      100

                          Designated for the homeless:   ____
        Of those, the number for the chronically homeless:   ____




    FAITH-BASED ORGANIZATION: Was this activity carried out by a
                              faith-based organization (Y/N)? _










  F1=HELP   F3=VALDT   F4=MAIN MENU   F5=PROJ INFO   F7=PREV   F8=NEXT   F9=SAVE
```

### Key Issues in Data Collection

TBRA performance data is specific to the beneficiary.  Therefore, required data can only be obtained as assistance contracts are offered to individual households.  Beneficiary information must be periodically updated in IDIS, as new households are added to TBRA caseloads.  Since many TBRA programs are operated by Housing Authorities or nonprofit organizations on behalf of grantees, grantees should make sure that the written agreement or contract with the subrecipient or housing authority clearly specifies the reporting requirements.  It should also clearly state how the reporting requirements will be enforced (i.e., the consequences for failure to report).  The required data should be incorporated into any reporting formats that are used to make sure that the required information is collected.  In IDIS, TBRA is generally set up as one activity for the agency that is funded.

## Homeless Management Information Systems – What's the Connection?

Anyone involved in homeless assistance programs and services has likely heard the term "HMIS," or Homeless Management Information System.  HUD now requires all CoCs to make substantial progress towards implementing an HMIS.  In the national competition among CoCs, funding applications are ranked in part on the basis of their HMIS progress.

❑ What is the connection between HMIS, the CPD Performance Measurement System, and other HUD reporting requirements, such as the Annual Performance Report (APR) and Consolidated Annual Performance and Evaluation Reports (CAPERs)?

➢ HMIS is a tool used to collect client-level data. It can be used to measure performance and outcomes for a single provider or across an entire CoC. It can also be aggregated for program and community-level reporting in APRs, CAPERs, and IDIS.

- HMIS data can help communities understand trends and patterns in a way that CAPER, APR, and IDIS data cannot. This information is essential to making informed, strategic decisions about the best way to spend limited resources at the local level.

- For example, if a program reports that 60 percent of its clients exit to permanent housing, are there any common characteristics among the 40 percent that exit the program without achieving the goal?

- HMIS provides a rich set of variables covering both basic demographic characteristics and characteristics that change over time and can be measured at program entry and exit, such as income, employment, and health status. The ability to control for the characteristics of the population served is especially useful for comparing outcomes across service providers or across programs.

➢ In contrast, the APRs, CAPERs, and IDIS are program-level reporting systems and are not designed to fully capture client-level outcomes. However, they provide HUD with aggregate national performance data, which allows HUD to report to Congress on program accomplishments, justify budget requests, and make informed policy decisions at the national level.

## Other Outcomes that Can be Measured Locally Beyond the IDIS Framework

The new IDIS framework helps HUD document what has been produced with its programs, including information about the number of housing units that are constructed or rehabilitated, the number of households that received financial assistance to purchase a home or access decent rental housing, the number of households that received emergency assistance to prevent homelessness, and the number of individuals that received shelter and essential services. However, these outputs do not describe whether programs are meeting their goals for improving the lives of individual clients or alleviating a widespread social or economic problem. As a result, there are other outcomes that grantees may want to consider measuring. Some suggested client-level measures are presented in Exhibit 6-2 below.

Formula grantees that also receive funding through HUD's competitive homeless assistance programs may recognize some of these measures.

> **Identifying Performance Measures for Homeless Programs**
>
> It typically takes a well-executed community process and several months or years to develop performance measures that are acceptable to the range of providers in a community as well funders and other local stakeholders. The CoC process provides communities with an opportunity to step back, critically assess capacity, and develop comprehensive solutions to move homeless people toward permanent housing and self-sufficiency. It helps communities develop a *common* vision and a *common* set of goals, so it is important for all providers of homeless programs and services to participate – regardless of whom they serve, the type of program or service they provide, or their key sources of funding. For CDBG, HOME, ESG, and HOPWA grantees that are interested in developing local performance measures in addition to those collected by HUD, participation in the HMIS is an important first step.

❑ As of 2005, HUD has established three national performance measures for the competitive programs. These performance measures are based on the APR that grantees submit to HUD, and are used by HUD to fulfill Government Performance Results Act (GPRA) reporting requirements and to provide feedback to grantees and providers. However, even if grantees and/or subgrantees do not receive McKinney-Vento competitive funds, it is still important to consider ways to assess program performance beyond simple counts of the number of persons served.

➤ For example, two separate shelters may have the same number of beds and may serve the same number of individuals on any given night, but one shelter may be more successful at moving clients out of shelter and into permanent housing. Without capturing information related to length of stay and destination at exit, a grantee will not be able to evaluate which programs are performing well and which ones need to improve.

**Exhibit 6-2: Client-Level Outcome Measures for Homeless Programs**

| Goal | Activities | Outputs | Outcome Measures |
|---|---|---|---|
| Formerly homeless people become stably housed. | ▪ Develop housing.<br>▪ Link clients to services.<br>▪ Assist with housing search.<br>▪ Provide security deposit assistance.<br>▪ Provide case management & housing stabilization services. | ▪ Number of units developed<br>▪ Number of individuals served<br>▪ Number of hours of case management services provided | ▪ Percentage of clients exiting from emergency shelter into transitional housing or permanent housing.  (or)<br>▪ Percentage of clients exiting from transitional housing into permanent housing.* |
| Formerly homeless people remain in stable housing. | ▪ Link clients to services.<br>▪ Provide case management and housing stabilization services.<br>▪ Provide emergency financial assistance to prevent relapse into homelessness. | ▪ Number of individuals served<br>▪ Number of hours of case management services provided | ▪ Percentage of residents of permanent supportive housing programs for formerly homeless people who stay in that housing facility for at least six months.*<br>▪ Percentage of formerly homeless persons that remain in <u>any</u> permanent housing for six months (or other designated period)** |
| Formerly homeless people become financially self-reliant | ▪ Link clients to employment and training programs.<br>▪ Link clients to mental health and substance abuse services (as needed).<br>▪ Link clients to other essential services (e.g., childcare, transportation assistance, etc.). | ▪ Number of hours of training provided to homeless clients<br>▪ Number of individuals served<br>▪ Number of individuals placed in employment<br>▪ Number of hours of case management services provided | ▪ Percentage of clients with earned income at program exit (compared with the percentage of clients with earned income at program entry).*<br>▪ Average percentage change in individual or household income between program entry and exit. |

*HUD national performance measure for McKinney-Vento competitive grant programs.
** Note that the type of permanent housing may vary with the client population – some may be expected to move into "mainstream" (or market rate) permanent housing, while for others, permanent supportive housing for persons with special needs may be more appropriate.  HUD's current measure is less complicated in terms of data collection, but once communities have a fully implemented HMIS, they may choose to measure the number of clients that remain stably housed in <u>any</u> permanent housing.

Additionally, there may be "system level" outcomes that grantees wish to measure. Since the overall program goal is to eliminate homelessness by increasing housing stability and client self-sufficiency, grantees may want to establish measures related to reducing shelter use and reducing multi-episode patterns of homelessness. This type of information is invaluable for grantees attempting to determine the most strategic way to use funds in their community. Exhibit 6-3 provides some examples of system-level outcomes that can be used for homeless programs.

**Exhibit 6-3:  Sample System-Level Performance Measures**

| Goal | Activities | Outputs | Outcome Measures |
|---|---|---|---|
| End homelessness: Reduce use of shelters. | ▪ Develop range of housing options.<br>▪ Assist with housing search and placement.<br>▪ Provide security deposit assistance.<br>▪ Provide case management & housing stabilization services. | ▪ Number of units developed<br>▪ Number of individuals served<br>▪ Number of individuals placed in housing<br>▪ Number of hours of case management services provided<br>▪ Number of dollars spent on various activities | ▪ Reduction in number of individual clients served in shelters<br>▪ Reduction in annual number of shelter entries from hospitals, treatment facilities, jails, or other residential facilities for homeless persons |
| End homelessness: Reduce length of stay in shelters. | ▪ Link clients to employment and training programs.<br>▪ Link clients to mental health and substance abuse services (as needed). | | ▪ Reduction in average length of stay (number of nights) in shelters |
| End homelessness: Reduce multi-episode patterns of homelessness. | ▪ Provide emergency financial assistance to prevent relapse into homelessness. | | ▪ Reduction in number and percentage of clients who appear in the homeless services system within a specific period of time after exiting the system |

❑ For example, if system-level data reveals that shelter use is decreasing throughout the community, funds can be reprogrammed towards homeless prevention and housing stabilization services to help formerly homeless individuals (and/or those at risk of homelessness) retain their housing.

**Additional Resources**

❑ For more information on developing performance measures for homeless assistance programs, see *Measuring the Performance of Programs That Serve Homeless People* at http://www.endhomelessness.org/pub/toolkit/MeasuringPerformanceofProgramsthatServeHomeless9.6.pdf.

❑ For information on using HMIS data to measure performance, visit HUD's HMIS information center at www.hmis.info.  In particular, see *Making the Most of HMIS Data:  A Guide to Understanding Homelessness and Improving Programs in Your Community* at http://www.hmis.info/documents/Make%20the%20Most%20of%20HMIS%20Data.pdf.